

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/940,509	08/27/2001	Doug Dunning	40655.5800

CONFIRMATION NO. 7398

20322  
SNELL & WILMER  
ONE ARIZONA CENTER  
400 EAST VAN BUREN  
PHOENIX, AZ 850040001

## FORMALITIES LETTER



\*OC000000006831357\*

Date Mailed: 10/02/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

*A copy of this notice **MUST** be returned with the reply.*

*D. Woolyton*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

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IN THE UNITED STATES PATENT  
AND TRADEMARK OFFICE

PATENT

Inventor(s): Dunning, et al. Docket No.: 40655.5800  
Serial No.: 09/940,509 Group Art No.: 2161  
Filing Date: August 27, 2001 Examiner: To Be Assigned  
Title: SYSTEM AND METHOD FOR CREATING  
AND ADMINISTERING AN INVESTMENT  
INSTRUMENT

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL  
APPLICATION  
FILING DATE GRANTED**

Assistant Commissioner for Patents  
Box Missing Parts  
Washington, D.C. 20231

Dear Sir:

This response to the Notice to File Missing Parts of NonProvisional Application -  
Filing Date Granted mailed on October 2, 2001.

Enclosed herewith for filing are the following:

A copy of the Notice to File Missing Parts of NonProvisional Application -  
Filing Date Granted. **(REQUIRED)**; and

Declaration

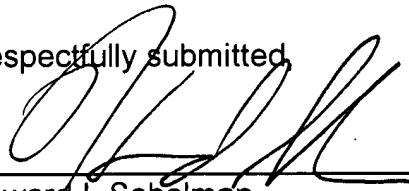
Surcharge for late filed Declaration	\$130.00
Total completion of application fees	\$130.00
Total fees due	\$130.00

The fee of \$130.00 is to be paid as follows:

- X A check in the amount of the fee is enclosed.
- X The Commissioner is hereby authorized to charge any fees which may be  
required, or credit any overpayment, to Deposit Account No. **19-2814**  
A duplicate copy of this sheet is enclosed.

- X If an additional extension of time is required, please consider this a petition therefor and charge any additional fees which may be required to Deposit Account No. **19-2814**  
A duplicate copy of this sheet is enclosed.

Respectfully submitted,



Dated: December 3, 2001

Howard I. Sobelman  
Reg. No. 39,038

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